

Securities and Exchange Commission

§ 259.5b

- 259.207 Form U-57, for notification of foreign utility company status pursuant to Rule 57(a) (§250.57 of this chapter).
- 259.208 Form U-9C-3, for notification of acquisition of securities exempt from section 9(a) pursuant to rule 58 (§250.58 of this chapter).
- 259.212a Form U-12(I)-A, for statement of activity within scope of section 12(i) of the Act, pursuant to Rule 71(a) (§250.71(a) of this chapter).
- 259.212b Form U-12(I)-B, for advance statement of activity within scope of section 12(i) of the Act pursuant to Rule 71(b) (§250.71(b) of this chapter).
- 259.213 Form U-13E-1, for report by affiliate companies and independent service companies pursuant to Rule 95 (§250.95 of this chapter).
- 259.221 Form U-R-1, for solicitations pursuant to Rule 62 (§250.62 of this chapter), in connection with reorganizations.

Subpart D—Forms for Periodic Accounting Reports

- 259.313 Form U-13-60, for annual reports pursuant to Rule 94 (§250.94 of this chapter) by mutual and subsidiary service companies required by section 13 of the Act.

Subpart E—Forms for Statements and Reports From Nonregistered (Exempt) Companies

- 259.402 Form U-3A-2, for annual reports pursuant to Rule 2 (§250.2 of this chapter) for exempt holding companies which are intrastate or predominantly operating companies.
- 259.403 Form U-3A3-1, for annual reports pursuant to Rule 3 (§250.3 of this chapter) for banks which are exempt holding companies.
- 259.404 Certificate to be filed pursuant to §250.7(d) of this chapter.
- 259.405 Form U-33-S, for annual reports pursuant to Rule 57(b) (§250.57 of this chapter).

Subpart F—Forms for Amendments [Reserved]

Subpart G—Forms for Electronic Filing

- 259.601 Form ET, transmittal form for electronic format documents on magnetic tape or diskette to be filed on the EDGAR system.
- 259.602 Form ID, uniform application for access codes to file on EDGAR.
- 259.603 Form SE, form for submission of paper format exhibits by electronic filers.
- 259.604 Form TH—Notification of reliance on temporary hardship exemption.

AUTHORITY: 15 U.S.C. 79e, 79f, 79g, 79j, 79l, 79m, 79n, 79q, 79t.

SOURCE: 33 FR 19001, Dec. 20, 1968, unless otherwise noted.

§ 259.0-1 Availability of forms.

(a) This part identifies and describes the forms prescribed for use under the Public Utility Holding Company Act of 1935.

(b) Any person may obtain a copy of any form prescribed for use in this part by written request to the Securities and Exchange Commission, 450 Fifth Street, NW., Washington, DC 20549. Any person may inspect the forms at this address and at the Commission's regional and district offices. (See §200.11 of this chapter for the addresses of SEC regional and district offices)

[46 FR 17757, Mar. 20, 1981, as amended at 47 FR 26820, June 22, 1982; 59 FR 5946, Feb. 9, 1994]

Subpart A—Forms for Registration and Annual Supplements

§ 259.5a Form U5A, for notification of registration filed under section 5(a) of the Act.

This form shall be filed pursuant to Rule 1(a) (§250.1(a) of this chapter) for the notification required under section 5(a) of the Public Utility Holding Company Act of 1935 by every public utility holding company required to register under the Act.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form U5A, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.

§ 259.5b Form U5B, for registration statement filed under section 5(b) of the Act.

This form shall be filed pursuant to Rule 1(b) (§250.1(b) of this chapter) for the registration statement required to be filed under section 5(b) of the Act by every public utility holding company required to register under the Act.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form U5B, see the List of CFR Sections Affected, which appears in the Finding Aids section of the printed volume and on GPO Access.